

Risk Management, Assessment and Planning Committee

Module III

Instructor's Guide

Length of Session:	1-1¼ Hours
Intended Audience:	Risk Committee members, management staff, others interested in the implementation of risk management
Class Size:	Limited only by room capacity
Training Materials:	<u>Equipment:</u> LCD projector or overhead projector <u>Handouts:</u> Title 17 Regulations 54327.2
Methods:	Power point or overhead presentation; group discussion; review of regional center Risk Management and Mitigation Plan

Course Outline

- I. Welcome and Introductions
- II. Risk Management, Assessment and Planning Committee
 - A. Introduction to Risk Management, Assessment and Planning Committee
 - B. Committee Composition
 - C. Committee Responsibilities: Risk Management and Mitigation Plans
 - D. Special Incident Reporting
 - E. Training and Technical Assistance
 - F. Coordination and Communication with Outside Investigative Agencies
 - G. Review of Special incident Data
 - H. Medical Records and Coroner Reports
 - I. Additional Committee Responsibilities
 - J. Frequency of Meetings
 - K. Suggestions for Documentation
 - L. Benefits of Risk Management, Assessment and Planning Committees

Risk Management, Assessment and Planning Committee

Module III

Learning Objectives

At the conclusion of this Module, participants will:

1. Understand regulations for regional center Risk Management, Assessment and Planning Committees.
2. Understand the functioning of the Committee.
3. Become familiar with the elements of a regional center Risk Management and Mitigation Plan.

Risk Management, Assessment and Planning Committee

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p>Slide 1: Risk Management, Assessment and Planning Committee</p> <p>The goal of this session is to learn about the function and responsibilities of a regional center's Risk Management, Assessment and Planning Committee. A major role of the committee is to develop and monitor the regional center's Risk Management and Mitigation Plan.</p> <p>Our focus is on the specific requirements for the committee as mandated by Section 54327.2 of the Lanterman Act. Throughout this session we will refer to the specific language of each requirement.</p> <p>We will also have an opportunity to offer suggestions on enhancing the effectiveness of the committee in supporting the health and safety of consumers.</p>	<p><u>Display title overhead or start Power Point presentation with the title slide (Slide 1).</u></p> <p><u>Distribute copies of the handout: <i>Regional Center Risk Management, Assessment and Planning Committee and Risk Management Plans.</i></u></p>

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p>Slide 1 (continued)</p> <p>Not all regional centers refer to the committee by the name designated in the regulations. What name does your committee go by?</p>	<p><u>Use this name as you proceed with the session.</u></p>
<p>Slide 2: Committee Composition</p> <p>Section 54327.2 (a) requires the following regarding the composition of the committee:</p> <p><i>Each regional center shall establish a Risk Management, Assessment and Planning Committee that, at a minimum, includes a representative from the regional center's clinical, quality assurance and training staff.</i></p> <p>Who serves on the committee at this regional center? What are their titles or roles?</p>	<p><u>List the titles/roles (not names) of committee members on a flip chart. Ask the group about the different perspectives members bring to the committee's work.</u></p>

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p>Slide 3: Committee Responsibilities: Risk Management and Mitigation Plan</p> <p>Although the regulations mandate the aspects of risk management that must be addressed in the plan, there are no specific requirements for its design. Every regional center may structure their Risk Management and Mitigation Plan to best fit the issues they face in meeting the needs of consumers.</p> <p>The following section identifies 5 areas for committee attention:</p> <p>Section 54327.2 (b) <i>The Risk Management, Assessment and Planning Committee shall develop the regional center's Risk Management and Mitigation Plan which shall address, at a minimum:</i></p> <ul style="list-style-type: none"> • Special Incident Reporting • Training and Technical Assistance • Coordination and communication with outside investigative agencies • Review of Special Incident Data 	

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p>Slide 3 (continued)</p> <ul style="list-style-type: none"> • Medical Records and Coroner Reports <p>Let's proceed by discussing each of these components.</p>	
<p>Slide 4: Special Incident Reporting</p> <p><i>(b) (1): The Risk Management and Mitigation Plan shall address:</i></p> <ul style="list-style-type: none"> ▪ <i>The process and procedures for ensuring accurate and timely handling and reporting of special incidents by regional center staff, vendors, and long-term health care facilities;</i> <p>Special Incident reporting is a critical element of risk management. The committee is central to ensuring that the regional center has responsive and effective policies and processes that provide clear guidance on the handling of all reported incidents.</p> <p>To be effective in understanding and addressing problems with</p>	

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p>Slide 4 (continued)</p> <p>special incident reporting, the committee should review and analyze issues related to the following:</p> <ul style="list-style-type: none">▪ Accurate reporting▪ Thorough documentation▪ Timely notifications to family/guardian, and other investigative entities▪ Appropriate routing and review process▪ Relevant and functional preventative action steps▪ Competent disposition and follow up	

<i>Script for Instructor</i>	<i>Suggestions for Instructor</i>
<p>Slide 5: Training and Technical Assistance</p> <p><i>(b) (2): The Risk Management and Mitigation Plan shall address:</i></p> <ul style="list-style-type: none"> ▪ <i>The provision of training and technical assistance to regional center staff, vendors and long-term health care facility staff and others on the legal obligations of abuse reporting, special incident reporting, risk assessment, developing and implementing an incident prevention plan, and proactive accident/safety planning through the individualized program planning process;</i> <p>The provision of training and technical assistance is a valuable element of any regional center's initiatives in risk management.</p> <p>Some regional centers may want to review and revise their curriculum or other resources to better reflect the implementation of specific risk management practices.</p>	<p><u><i>Ask the group to describe the training and technical assistance efforts underway regarding risk management.</i></u></p> <p><u><i>Ask for suggestions of additional topics or strategies that could enhance this area for regional center staff, vendors, and long-term health care facility staff.</i></u></p>

Slide 6: Coordination and Communication with Outside Investigative Entities

(b) (3): The Risk Management and Mitigation Plan shall address:

- *Coordination and communication with local licensing, protective service and law enforcement agencies relative to investigative actions and findings;*

External agencies' investigative actions and findings are integral to the management of special incidents and more importantly, to the protection of consumers from harm. Positive practices include shared training opportunities with these entities, collaborative review of incidents, and information exchange on issues of common concern.

Slide 7: Review of Special Incident Data

(b) (4): The Risk Management and Mitigation Plan shall address:

- *A process for reviewing individual and aggregate special incident report data to identify trends and unusual patterns which may require regional center action;*

Perhaps the most detailed and comprehensive work of risk committees is the review of trends in individual and aggregate special incident data. As the data is processed, multiple reports may be generated. The analysis of targeted reports should identify trends and unusual patterns that may require regional center action. Suggested targets for review and analysis include, but are not limited to, the following:

- Multiple SIRs for one individual
- Multiple SIRs from one location
- Multiple SIRs from one vendor operating in multiple locations
- Reports of frequency by type of incident, such as falls
- Detailed reports of one type of incident, e.g., alleged abuse

At the discretion of the regional center, you may wish to provide samples of data reports to the participants. If not, ask the participants to identify the types of targeted reports that are managed by the Committee.

Slide 8: Medical Records and Coroner Reports

(b) (5): The Risk Management and Mitigation Plan shall address:

- *A process for reviewing medical records and coroner reports, as appropriate, associated with special incidents to ensure that appropriate medical attention was sought and/or given.*

This element of the Risk Management and Mitigation Plan may be operationalized through the work of a stand-alone mortality and morbidity review committee.

This may also be addressed by a sub-committee of the Risk Management, Assessment and Planning Committee.

To carry out the functions of these reviews, additional membership from clinical and consultant staff need to be in place.

Slide 9: Additional Committee Responsibilities

54327.2 (c): *The Risk Management, Assessment and Planning Committee shall:*

(1) Monitor the regional center's Risk Management and Mitigation Plan to ensure it is being implemented;

(2) Annually review the regional center's internal special incident reporting and risk management systems; and

(3) Update the Risk Management and Mitigation Plan as necessary.

Slide 10: Frequency of Meetings

Section 54327.2 (d) The Risk Management, Assessment and Planning Committee shall meet at least semi-annually.

Most regional centers meet more frequently than required for enhanced stewardship in the implementation of the Risk Management and Mitigation Plan.

Slide 11: Suggestions for Documentation

The Risk Management, Assessment and Planning Committee should document its activities.

The agenda for a committee meeting should be structured and focused.

Minutes should focus on outcomes and recommendations, and reflect follow up actions from previous meetings.

Meeting minutes serve to chronicle the Committee's efforts and the oversight of the regional center's Risk Management and Mitigation Plan.

Slide 12: Benefits of Risk Management, Assessment and Planning Committees

In closing, here are some of the benefits afforded to a regional center from the work of their Committee.

Slide 12 (continued)

- Provides opportunities to problem solve and implement proactive strategies to keep consumers safe.
- Focuses on the preventative aspects of risk management. The emphasis is on reducing the risk of incident recurrence for one or for other consumers.
- Provides a central point for system-wide, as well as consumer-specific, improvements in health and safety.



Risk Management, Assessment and Planning Committee

III-4



Committee Composition

Section 54327.2 (a) requires:

- *Each regional center shall establish a Risk Management, Assessment and Planning Committee that, at a minimum, includes a representative from the regional center's clinical, quality assurance and training staff.*



Committee Responsibilities: Risk Management & Mitigation Plan

Section 54327.2 (b) requires:

- ***The Risk Management, Assessment and Planning Committee shall develop the regional center's Risk Management and Mitigation Plan which shall address, at a minimum:***

Special Incident Reporting

Section 54327.2 (b) (1) requires:

- ***The process and procedures for ensuring accurate and timely handling and reporting of special incidents by regional center staff, vendors, and long-term health care facilities;***



Training & Technical Assistance

Section 54327.2 (b) (2) requires:

- *The provision of training and technical assistance to regional center staff, vendors and long-term health care facility staff and others on the legal obligations of abuse reporting, special incident reporting, risk assessment, developing and implementing an incident prevention plan, and proactive accident/safety planning through the individualized program planning process;*



Coordination & Communication with Outside Investigative Agencies

Section 54327.2 (b) (3) requires:

- ***Coordination and communication with local licensing, protective service and law enforcement agencies relative to investigative actions and findings;***



Review of Special Incident Data

Section 54327.2 (b) (4) requires:

- ***A process for reviewing individual and aggregate special incident report data to identify trends and unusual patterns which may require regional center action;***



Medical Records & Coroner Reports

Section 54327.2 (b) (5) requires:

- ***A process for reviewing medical records and coroner reports, as appropriate, associated with special incidents to ensure that appropriate medical attention was sought and/or given.***

Additional Committee Responsibilities

Section 54327.2 (c) requires:

- ***The Risk Management, Assessment and Planning Committee shall:***

(1) Monitor the regional center's Risk Management and Mitigation Plan to ensure it is being implemented;

(2) Annually review the regional center's internal special incident reporting and risk management systems; and

(3) Update the Risk Management and Mitigation Plan as necessary.



Frequency of Meetings

Section 54327.2 (d) requires:

- ***The Risk Management, Assessment and Planning Committee shall meet at least semi-annually.***



Suggestions for Documentation

- ***Agenda***
- ***Minutes or Committee report***



Benefits of Risk Management Committee

- *Provides opportunities for problem solving & implementing proactive strategies*
- *Facilitates a preventative model*
- *Provides a central point for improvement in consumer health and safety*

54327.2. Regional Center Risk Management, Assessment and Planning Committee and Risk Management and Mitigation Plans.

- (a) Each regional center shall establish a Risk Management, Assessment and Planning Committee that, at a minimum, includes a representative from the regional center's clinical, quality assurance and training staff.
- (b) The Risk Management, Assessment and Planning Committee shall develop the regional center's Risk Management and Mitigation Plan which shall address, at a minimum:
 - (1) The process and procedures for ensuring accurate and timely handling and reporting of special incidents by regional center staff, vendors, and long-term health care facilities;
 - (2) The provision of training and technical assistance to regional center staff, vendors and long-term health care facility staff and others on the legal obligations of abuse reporting, special incident reporting, risk assessment, developing and implementing an incident prevention plan and proactive accident/safety planning through the individualized program planning process;
 - (3) Coordination and communication with local licensing, protective service and law enforcement agencies relative to investigative actions and findings;
 - (4) A process for reviewing individual and aggregate special incident report data to identify trends and unusual patterns which may require regional center action, and;
 - (5) A process for reviewing medical records and coroner reports, as appropriate, associated with special incidents to ensure that appropriate medical attention was sought and/or given.
- (c) The Risk Management, Assessment and Planning Committee shall:
 - (1) Monitor the regional center's Risk Management and Mitigation Plan to ensure it is being implemented;
 - (2) Annually review the regional center's internal special incident reporting and risk management systems; and
 - (3) Update the Risk Management and Mitigation Plan as necessary.
- (d) The Risk Management, Assessment and Planning Committee shall meet at least semi-annually.

Authority: Section 11152, Government Code. Reference: Sections 4434, 4500, 4501, 4502, 4629, 4648, 4648.1 and 4742, Welfare and Institutions Code.